

FORM PTO-1739
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

22868.68

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

131903 **10/088654**INTERNATIONAL APPLICATION NO.
PCT/L00/00559INTERNATIONAL FILING DATE
12 September 2000PRIORITY DATE CLAIMED
September 15, 1999

TITLE OF INVENTION PLASMON RESONANCE PHASE IMAGING

APPLICANT(S) FOR DO/EO/US Stephen LIPSON, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
International Search Report; Not. of Receipt of Demand by IPER; Not. Concerning Elected Offices; Not. Concerning Submission of Priority Doc.; Not. of Receipt of Record Copy;

U.S. APPLICATION NO. of 1999, see 37 CFR 1.51

131903

10/088654

INTERNATIONAL APPLICATION NO.

PCT/IL00/00559

ATTORNEY'S DOCKET NUMBER

22868.68

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 710.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ |
|---|--------------|--------------|------------|---------|
| Total claims | 13 - 20 - | 0 | x \$18.00 | \$ 0.00 |
| Independent claims | 2 - 3 - | 0 | x \$80.00 | \$ 0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$270.00 | \$ 0.00 |

TOTAL OF ABOVE CALCULATIONS =

\$

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$ 355.00

SUBTOTAL =

\$ 355.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 355.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

\$

TOTAL FEES ENCLOSED =

\$ 355.00

Amount to be
refunded: \$

charged: \$

- a. ☒ A check in the amount of \$ 355.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 03-3415. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

William H. Dippert
Cowan, Liebowitz & Latman, PC
1133 Avenue of the Americas - 35th Floor
New York, New York 10031

William H. Dippert
SIGNATURE

William H. Dippert

NAME

26,723

REGISTRATION NUMBER

Plasmon Resonance Phase Imaging**FIELD OF THE INVENTION**

- 5 The present invention relates to the detection and measurement of very small changes in a field expressed by changes in the refractive index close to a given surface. More particularly it relates to a device and method for plasmon resonance phase imaging.

10

BACKGROUND OF THE INVENTION

- The refractive index of a medium is commonly measured by observing the phase change of an electromagnetic wave traversing a given distance
- 15 within the medium.

- Methods of measuring the refractive index field of a non-uniform specimen are well known. These methods rely on the transmission of a light wave through the medium in question. After it has traversed the medium, a
- 20 light wave interferes with a reference wave which has not traversed the medium and the interference pattern so obtained is analyzed by means of a computer to give the refractive index in each pixel of the field. The refractive index has been interpreted in various ways, to indicate temperature or solute concentration, for example. The resolution of the methods used to date are

limited by the accuracy to which the optical phase change can be determined at each point in the field. This limit is typically $2\pi/100$ for a single pixel, and may be $2\pi/1000$ for a complete field.

5 US Patent No. 5,120,131 (Lukosz), titled METHOD AND APPARATUS FOR SELECTING DETECTION OF CHANGES IN SAMPLES BY INTEGRATED OPTICAL INTERFERENCE, filed Aug. 10, 1990, is an example for such method. In an integrated optical interference method, polarized laser light is coupled into a planar waveguide, propagates in the
10 waveguide as a guided wave, which consists of two mutually coherent, orthogonally polarized modes, interacts at least once with the sample, which is applied to the surface of a section of the waveguide called measuring section, and subsequently is coupled out of the waveguide. The time dependent phase difference between the two orthogonal polarization
15 components of the outcoupled light is measured with a device comprising photodetectors and polarization optical components.

In US Patent No. 5,804,453 (Chen), filed Feb. 9, 1996, titled FIBER OPTIC DIRECT-SENSING BIOPROBE USING A PHASE TRACKING
20 APPROACH there was disclosed a method of determining the concentration of a substance in a sample solution using a fiber optic probe having a reagent at its distal end to which the substance bonds. It comprises a fiber optic bioprobe in which an immobilized biolayer, such as an antigen or antibody, acts as a sensing etalon of a Fabry-Perot interferometer. The bioprobe is used
25 in a system in which a shift in the spectral dispersion pattern, caused by

reflected out-of-phase beams, is used to determine a concentration of a substance in a sample solution. The method disclosed in this patent investigates the phase difference in the sample caused by the presence of the substance in the sample solution, by examining the interference patterns of the sample. The method does not include the employment of surface plasmon resonance, nor does it provide an image of the sample.

In US Patent No. 5,442,448 (Knoll), filed March 21, 1994, titled
DEVICE FOR THE LATERALLY RESOLVED INVESTIGATION OF A
10 LATERALLY HETEROGENEOUS ULTRATHIN OBJECT LAYER, there was
disclosed a device for the investigation of a laterally heterogeneous ultrathin
object layer, especially for the laterally resolved detection of a change in the
layer thickness of the object layer which results from a specific binding
reaction of a first binding partner bound to the object layer with an unbound
15 second binding partner. The device has a multi-layer structure which extends
into the investigation region and includes the object layer as first layer and a
second layer adjacent to the latter, a coupler arrangement for the coupling of
excitation light into the second layer. The excitation light generates at least
one defined angle of incidence in the second layer a bound, non-radiating
20 electromagnetic wave, from which an evanescent wave extends into the
object layer. An optical imaging system is provided for the imaging of the
investigation region of the object layer in an image plane at a defined angle of
emergence, at which detection light is coupled out from the second layer. The
coupler arrangement includes an optical grating structure which extends into
25 the investigation region parallel to the object layer and which is rotatable

about an axis extending perpendicular to the grating plane. This allows adjustment of the image contrast, by varying the orientation of the grating lines relative to the plane of incidence. In contrast to US Patent 5,804,453 (Chen) this invention does employ surface plasmon resonance on metal, and
5 does provide an image, but it is not concerned with the phase change on reflection from the sample, nor does it employ interference.

In US Patent No. 5,313,264 (Ivarsson et al.), filed May 10, 1991, titled OPTICAL BIOSENSOR SYSTEM, there was disclosed an optical biosensor
10 system using internal reflection versus angle of incidence determination for the detection of biomolecules, the system comprising a sensor unit with at least two sensing surfaces, a source of light, and means for forming a convergent beam of light which is focused in a wedge-shape fashion to form a streak of light extending transversely over all the sensing surfaces; a
15 photodetector device in the form of a two-dimensional matrix of individual photodetector; optical imaging instrumentation in the form of an anamorphic lens system for the purpose of imaging rays of reflected light from the sensing surfaces on each its own column of photodetectors, so that for each sensing surface there is a corresponding set of columns of photodetectors; and an
20 evaluation unit for determining the minimum reflectance or the resonance angle at each of the sensing surfaces. The invention also relates to a method for calibrating the biosensor system, a method for correcting for baseline drift as well as a method for temperature regulation of thermostat means in the biosensor system. This system employs surface plasmon resonance, but does

not investigates the phase nor does it provide an image, and is merely concerned with local sensing.

In US Patent No. 5,237,392 (Hickel et al.), filed Aug. 13, 1992, titled
5 DETERMINATION OF REFRACTIVE INDEX AND THICKNESS OF THIN
LAYERS, the refractive index and thickness of ultrathin layers less than 1
micrometer in thickness are determined by recording the layers, which have
been applied to a solid support, by surface plasmon microscopy as a function
of the angle of incidence of the incident laser beam, the method making it
10 possible to determine layer thicknesses with a vertical resolution greater than
or equal to 0.1 nm and a simultaneous lateral resolution greater than or equal
to 5 μ m. This invention deals with surface plasmon resonance and produces
an image, but does not examine the phase change of the reflected or
transmitted light.

15

Plasma resonance in a metal film has been used to increase the
contrast of images of objects characterized by very small variations of optical
refractive index (see Hickel W., Rothenhauser B., and Knoll W., *Surface
plasmon microscopic characterization of external surfaces*, J. App. Phys.
20 66(1989) 4832-4836, Rothenhauser B., and Knoll W., *Surface-plasmon
microscopy*, Nature 332 (1988) 615, and Yeatman E. and Ash E.A., *Surface-
plasmon microscopy*, Elec. Lett. 23 (1987) 1091).

It is a purpose of the present invention to provide a method of
25 displaying the refractive index of each pixel of the image of a sample, using an

accurate method of measuring the optical phase change at each point in the field of view, similarly to the method described Kostianovsky et al. (Kostianovsky S., Lipson S.G., and Ribak E., Appl. Optics 32 (1993) 4744, and see also Raz E. et al., Phys. Rev. A 40 (1989) 1089) . In addition, it is a purpose of this invention to provide an experimental method and apparatus to carry out such a measurement and provide the said display of the refractive index field in the form of an image.

10 BRIEF DESCRIPTION OF THE INVENTION

It is therefore provided, in accordance with a preferred embodiment of the present invention, a device for measuring simultaneously the phase at each point of an image formed by light reflected from a sample, in which the phase has been modified by plasma resonance in a thin conducting layer which is close to, or in contact with, the sample whose image is being recorded, the device comprising:

a thick transparent substrate with a planar surface on which a thin layer of conducting material is deposited, onto which is placed the sample being investigated, either in contact with it or a short distance from it; a light source linearly polarized in a predetermined direction, whose light beam is reflected from said thin layer of conducting material from the side opposite to that on which the sample is placed at an angle substantially equal to that at which the interaction with the plasma resonance is maximized, the evanescent light field on the far side of

the conducting film interacting with the sample, thus modifying the reflected light;

an interferometer which enables the reflected beam to be compared interferometrically with a reference beam derived from the same source, but not having had any interaction with the sample;

imaging means for recording an image of the planar surface in interference with the reference beam, and digitizing it; and processing means for processing said digitized image to provide an output image.

10 Furthermore, in accordance with a preferred embodiment of the present invention, the light source is a quasi-monochromatic or polychromatic source.

Furthermore, in accordance with a preferred embodiment of the present invention, the light source is a laser.

15 Furthermore, in accordance with a preferred embodiment of the present invention, the laser is a He-Ne laser.

Furthermore, in accordance with a preferred embodiment of the present invention, the light source is polarized in the p -plane, relative to the sample.

20 Furthermore, in accordance with a preferred embodiment of the present invention, the interferometer is a Mach-Zehnder interferometer.

Furthermore, in accordance with a preferred embodiment of the present invention, the interferometer is a Linnik interferometer.

25 Furthermore, in accordance with a preferred embodiment of the present invention, the light beam is illuminated annularly, with appropriate

radial polarization, so as to illuminate the sample isotropically at an angle substantially equal to that at which the interaction with the plasma resonance is maximized.

Furthermore, in accordance with a preferred embodiment of the present invention, the imaging means is a Charge-Coupled-Device camera.

Furthermore, in accordance with a preferred embodiment of the present invention, the image is recorded on a permanent recording material such as photographic film.

Furthermore, in accordance with a preferred embodiment of the present invention, the camera is connected to a computer or other processing device which digitized its output signal and calculates the phase of the reflected image in each pixel using known algorithms

Finally, there is provided, in accordance with a preferred embodiment of the present invention, a method of measuring simultaneously the phase at each point of an image formed by light reflected from a sample, in which the phase has been modified by plasma resonance in a thin conducting layer which is close to, or in contact with, the sample whose image is being recorded, the method comprising the following steps:

One) placing the sample being investigated onto a thin layer of conducting material which is deposited on a thick transparent substrate;

Two) reflecting a light beam linearly polarized in a predetermined direction from said thin layer of conducting material from the side opposite to that on which the sample is placed, at an angle substantially equal to that at which the

interaction with the plasma resonance is maximized, the evanescent light field on the far side of the thin layer of conducting material interacting with the sample, thus modifying the reflected light;

- 5 Three) interferometrically comparing said reflected beam with a reference beam derived from the same source, but not having had any interaction with the sample;

Four) recording an image of a planar surface in interference with the reference beam;

- 10 Five) digitizing said image; and -

Six) processing said digitized image to obtain an output image.

15 BRIEF DESCRIPTION OF THE FIGURES

In order to better understand the present invention, and appreciate its practical applications, the following Figures are provided and referenced hereafter. It should be noted that the Figures are given as examples only and in no way limit the scope of the invention as defined in the appended Claims. Like components are denoted by like reference numerals.

Figure 1 illustrates a block diagram highlighting the main features of a surface plasmon resonance phase imaging device in accordance with a

preferred embodiment of the present invention showing the relationship between its various parts.

Figure 2 depicts an overhead view of a surface plasmon resonance phase
5 imaging device in accordance with a preferred embodiment of the present invention, in which a Mach-Zehnder interferometer is incorporated and the sample is placed on the horizontal surface of a slide cemented to the hypotenuse of a right-angled glass prism.

10 Fig. 3 shows in detail the construction of the sample and prism in the embodiment shown of Fig. 2.

Fig. 4 shows graphically the relationship between the phase and intensity change of light on reflection from the sample to the angle of incidence,
15 for a particular sample.

Fig. 5 shows a surface plasmon resonance imaging device in accordance with another preferred embodiment of the present invention, in which a Linnik interferometer is used, involving two microscope objectives, one
20 of which is an immersion objective optically contacted with the reverse side of the slide on which the object is placed.

Fig. 6 shows in detail the construction and coupling of the sample and objective in the embodiment described in Fig. 5.

DETAILED DESCRIPTION OF THE INVENTION AND FIGURES

As mentioned before, in the prior art, plasma resonance in a metal film has been used to increase the contrast of images of objects characterized by very small variations of optical refractive index (Yeatman and Ash, Rottenhausner and Knoll, Hickel and Knoll, Hickel Kamp and Knoll). Laser light polarized in the p-plane is incident on a sample, substantially as shown in Fig. 3, and the reflected light is imaged onto a screen or camera. The recorded image is processed so as to increase its contrast. These applications take advantage of the light absorption, which takes place preferentially under conditions of plasma resonance.

In the present invention, however, it is not the absorption but the phase change of the light which is used to create the image; the phase change is not visible directly but must be extracted from the light signal by means of a technique such as interferometry (or other phase-change measurement techniques such as wave-front curvature sensing, or phase contrast microscopy).

In the present invention the phase change is observed and measured when light is reflected from a surface in contact with the medium. The result indicates the refractive index of a thin layer of thickness of the order of one or a few wavelengths – up to about 3 wavelengths - of the radiation being used for the investigation. The method is based on the use of plasma resonance in a thin film of metal, alloy or other conductor (for example noble metals such as

silver, gold) deposited onto an optical surface from which light is reflected at an angle greater than the critical angle for that component. The field of refractive index which is measured in the method disclosed in this invention can be interpreted in many ways, in which a specific property, which depends on the refractive index, is assigned to each pixel of the image obtained.

In the present invention the phase change is amplified by means of excitation of plasma resonance in a conducting film in proximity to the sample under investigation. The application of plasma resonance to the measurement of refractive index is known (see above).

Electromagnetic radiation is totally reflected from a thin film of conductor, several nanometer thick, deposited on an optical surface. Despite the fact that the reflection is total, it is well known that the electromagnetic field penetrates a short distance into the medium on the other side of the reflecting surface. This penetration samples the medium to a depth of up to a few wavelengths. When the angle of reflection satisfies the resonance condition (more on that see Raether H., *Surface plasmons*, Springer-Verlag, Berlin 1988), which depends on the refractive index of the substrate and of the overlying medium, the reflected light is both absorbed and undergoes a phase change, both of which are related quantitatively to the properties of the medium within the penetrated region. If the overlying medium is not uniform in its properties, the degree of absorption and the phase of the reflection are observed to vary from point to point in the field which is illuminated. The variation of degree of absorption from point to point has been described by

Rothenhauser and Knoll to image a field of refractive index or thickness in the overlying medium. However, the phase change has not been used for the purpose of imaging a whole field of refractive index or other property, since methods of measuring the phase change accurately at each point in the field are not well-known.

Figure 1 illustrates a block diagram highlighting the main features of a surface plasmon resonance phase imaging device in accordance with a preferred embodiment of the present invention showing the relationship between its various parts. These are discussed in details with reference to the Figures.

The basic components of the device of the present invention are:

- One) a sample to be investigated which is placed onto a thin layer of a conducting material;
- Two) a source of light (monochromatic light source, or a quasi-monochromatic or polychromatic source.) linearly polarized in a predetermined direction, which illuminates the sample by reflection from the thin conducting layer 13 from the side opposite to that on which the sample is placed;
- Three) An optical phase measurement system which enables the reflected beam to be compared interferometrically with a reference beam derived from the same source, but not having had any interaction with the sample;

- Four) an imaging system which creates an image of the planar surface in interference with the reference beam, and allows this image to be recorded;
- Five) a processing system in which the recorded image is digitized and processed to provide the output display.

Reference is now made to Figures 2 and 3. A preferred embodiment of the present invention is illustrated schematically in Figure 2 depicting an overhead view of a surface plasmon resonance imaging device in accordance with a preferred embodiment of the present invention, in which a Mach-Zehnder interferometer is incorporated and the sample is placed on the horizontal surface of a slide cemented to the hypotenuse of a right-angled glass prism. Figure 3 shows in detail the construction of the sample and prism in the embodiment shown of Fig. 2.

15

The substrate consists of a right-angled glass prism 10. A microscope slide 11, covered with a thin film of metal 13, preferably silver (Ag), is cemented optically to the hypotenuse of the prism 10 by optical immersion oil 12 or some other index-matching material (e.g. epoxy). The sample under investigation 14 is placed on the conducting film, which for convenience is in a horizontal plane.

The light source 1 is a laser, preferably a He-Ne laser, whose light beam 15 is expanded, collimated and polarized in the p-polarization direction by a beam expander and collimator 2. In fact the light source may be a quasi-

monochromatic or polychromatic light source. The beam is incident on the sample slide through the one of the small faces of the prism 10, at the angle at which the plasma resonance is found to occur for the particular combination of sample and conducting film. (see Fig. 4 which shows graphically the relationship between the phase and intensity change of light on reflection from the sample to the angle of incidence, for a particular sample).

Before it reaches the prism 10, the incident light beam 15 passes through a beam-splitter 4, which takes out a small fraction of the beam to create the reference beam. With the aid of a mirror 6 and a second beam-splitter 7, this beam is recombined with the beam reflected from the sample so as to create an interference pattern. Such a system is known as a Mach-Zehnder interferometer.

With the aid of a lens 8, the plane of the sample is imaged onto a charge-coupled-device (CCD) camera 9, which is used to record the interferogram. It is noted that the image could alternatively be recorded on a permanent recording material such as photographic film using a conventional camera.

The output from the CCD camera 9 is put into a processing means – a computer, which first converts the image recorded by the CCD camera into a digital image. It then carries out an algorithm of the type discussed in ref. 1 in order to display the phase of the image at each pixel of the CCD recording.

The data processing technique is based on a previous work by Kostianovsky et al. The basic idea consists of the use of Fourier's analysis in order to retrieve the phase change from a given interferogram. This technique has proved to be able to detect local changes in phase around $\pi/100$ radians between two given interferograms. For this procedure we need two interferograms: a reference $g_0(x,y)$ and a signal one $g(x,y)$.

Mathematically, the intensity of a reference interferogram can be written as:

$$g_0(x,y) = a(x,y) + b(x,y) \cos(\omega_0 x + \phi_0(x,y))$$

10 $a(x,y)$, $b(x,y)$ and $\phi(x,y)$ represent local intensity variations and local phase variations as a result of intrinsic defects in the optical system. $\omega_0 = 2\pi\phi_0$ is the spatial frequency of the interferogram. Two strong spots at the main frequency characterize the Fourier transform of the reference picture.

When the phase is somehow changed by an external factor, the typical
15 spatial frequency of the interferogram changes and it looks like:

$$g(x,y) = a(x,y) + b(x,y) \cos(\omega_0 x + \phi_0(x,y) + \phi(x,y))$$

The phase change is produced by a local modification of the refractive index in the dielectric sample deposited in the SPR unit. The frequency distortion arising around the main spots, caused by local changes in the sample.

20 The original captured and digitized pictures are "intensity pictures", so every pixel has a real value. The Fourier transform of a real picture is central-symmetric.

A proposed algorithm for the calculation of the phase change at each pixel can be as follows:

□ From the Fourier transformed pictures only the information centered on one of the two spots is taken and compared, the same one in both pictures. The spots G and G_0 can be written as:

$$G_0(u, v) = B(u, v) * P_0(u, v)$$

$$G(u, v) = B(u, v) * P_0(u, v) * P(u, v)$$

5 Where

$$B(u, v) = FT\{b(x, y)\}$$

$$P_0(u, v) = FT\{\phi_0(x, y)\}$$

$$P(u, v) = FT\{\phi(x, y)\}$$

□ From the inverse transform of G and G_0 the complex fields that represent the phase information of the interferogram are obtained. The pixel by pixel ratio between these two matrices is complex too. The phase
10 of this new complex matrix is the local value of $\phi(x, y)$. The result is a map of phase changes between the reference and the object picture, for the entire field of view.

□

$$\phi(x, y) = \text{phase} \left\{ \frac{FT^{-1}\{G(u, v)\}}{FT^{-1}\{G_0(u, v)\}} \right\}$$

15

This phase image is then converted to units of refractive index of the sample by using a known theoretical model for the plasma resonance mechanism (see for example Kabashin A.V. and Nikitin P.I., *Surface plasmon resonance interferometer for bio-and chemical-sensors*. Opt. Commun.
20 150 (1998) 5-8) or by means of empirical calibration, which relates refractive index within the penetration layer to the phase of the reflected wave.

In the embodiment shown in Fig. 2, the light source is a He-Ne laser 1, whose output beam is expanded in diameter, collimated and polarized by the beam expander 2 and polarizer 3. The collimated and polarized beam is split into two beams which may be of unequal intensity by means of the beam-splitter 4, the stronger of the two beams continuing to the plasma resonance system 5, which is shown in more detail in Fig. 3. The weaker beam, reflected from beam-splitter 4, is further reflected from a mirror 6. After reflection from the system 5, which substantially weakens its intensity, the stronger beam is recombined with the weaker one by means of the beam-splitter 7. The combination of the two beams is then imaged by the lens 8 onto a CCD camera 9. The plasma resonance system 5, shown in Fig. 3, is constructed from a right-angled prism 10, onto which is placed a microscope slide 11, the space between them being filled with optical contacting oil 12. The side of the slide remote from the prism has deposited on it a thin layer 13 of silver (Ag) about 30nm in thickness. The sample 14 under investigation is placed in close contact with this silver layer. The angle of incidence of the beam at the silver layer is θ_{sp} , corresponding to the maximum gradient in the plot of reflection phase versus θ shown in Fig. 4 for that particular system. This plot is obtained from theoretical considerations, such as those described by Raether, and the angle θ_{sp} is typically 41° . The angle of the mirror 6 is changed until several interference fringes cross the field of view of the image. The image recorded by the CCD 9 is used as input to a computer with a frame-grabber, which digitizes the image. Using the analytical technique described by Kostianovsky et al., the desired image of plasma-resonance induced phase changes is obtained as output from the computer.

In a second embodiment of the invention, shown in Fig. 5, the interferometer used is a Linnik interferometer. The light source 21, which is also a laser, preferably a He-Ne laser, is expanded and collimated by a beam-expander 22 and is divided into two approximately equal parts by the beam-splitter 23. The light beam deflected and redirected at the sample is focussed onto the sample by means of an objective lens 24, and the light beam that is not deflected is focused onto a reference mirror 28 by means of a second substantially identical objective lens 25. The correct angle of incidence is selected by means of an annular illumination system 26 of variable radius focused into the focal plane of the objective lenses so as to illuminate the sample isotropically at an angle substantially equal to that at which the interaction with the plasma resonance is maximized. The illuminating beam is polarized radially by the radial polarizer 27. The reference mirror 28 has reflectivity that can be calculated and hence be predetermined to optimize the contrast of the interference pattern observed by the image registration system 29. The plasma resonance unit (30) applicable to this embodiment is a microscope slide 31 of suitable thickness onto which is deposited the thin film of conductor 32 (Fig. 6.). This slide 31 is attached optically to the lens 33 by immersion oil 34 in the conventional manner. The reference mirror 28 may also be a partially reflecting layer deposited on a microscope slide, which can be attached optically to its objective in the same way. However, the reference system, namely objective 25 and reference mirror 28 may be replaced by another optical system whose optical function is identical.

It should be clear that the description of the embodiments and the attached Figures set forth in this specification are provided for explanatory

purposes only, without limiting the scope of the present invention as covered by the following Claims.

It should also be clear that a person skilled in the art, after reading the present specification could make adjustments or amendments to the attached

5 Figures and above described embodiments that would still be covered by the following Claims.



10

15

20

CLAIMS

1. A device for measuring simultaneously the phase at each point of an image formed by light reflected from a sample, in which the phase has been modified
- 5 by plasma resonance in a thin conducting layer which is close to, or in contact with, the sample whose image is being recorded, the device comprising:
- a thick transparent substrate with a planar surface on which a thin layer of conducting material is deposited, onto which is placed the sample being investigated, either in contact with it or a short distance from it;
- 10 a light source linearly polarized in a predetermined direction, whose light beam is reflected from said thin layer of conducting material from the side opposite to that on which the sample is placed at an angle substantially equal to that at which the interaction with the plasma resonance is maximized, the evanescent light field on the far side of
- 15 the conducting film interacting with the sample, thus modifying the reflected light;
- an interferometer which enables the reflected beam to be compared interferometrically with a reference beam derived from the same source, but not having had any interaction with the sample;
- 20 an imaging means for recording an image of the planar surface in interference with the reference beam, and digitizing it; and
- a processing means for processing said digitized image to provide an output image.

2. A device as claimed in Claim 1, wherein the sample being investigated is placed within up to about 3 wavelengths of the radiation being used for the investigation from said thin layer of conducting material.
- 5 3. A device as claimed in claim 1 wherein the light source is a quasi-monochromatic or polychromatic source.
4. A device as claimed in claim 1 wherein the light source is a laser.
- 10 5. A device as claimed in Claim 4, wherein said laser is a He-Ne laser.
6. A device as claimed in claim 1 wherein the light source is polarized in the p -plane, relative to the sample.
- 15 7. A device as claimed in claim 1 wherein the interferometer is a Mach-Zehnder interferometer.
8. A device as claimed in claim 1 in which the interferometer is a Linnik interferometer.
- 20 9. A device as claimed in claim 8, wherein the light beam is illuminated annularly, with appropriate radial polarization, so as to illuminate the sample isotropically at an angle substantially equal to that at which the interaction with the plasma resonance is maximized.

10. A device as claimed in claim 1 wherein the imaging means is a Charge-Coupled-Device camera.
11. A device as claimed in claim 1 wherein the image is recorded on a permanent recording material such as photographic film.
12. A device as claimed in claim 1 in which the camera is connected to a computer or other processing device which digitized its output signal and calculates the phase of the reflected image in each pixel using a known algorithm.
13. A method of measuring simultaneously the phase at each point of an image formed by light reflected from a sample, in which the phase has been modified by plasma resonance in a thin conducting layer which is close to, or in contact with, the sample whose image is being recorded, the method comprising the following steps:
- One) placing the sample being investigated onto a thin layer of conducting material which is deposited on a thick transparent substrate;
- Two) reflecting a light beam linearly polarized in a predetermined direction from said thin layer of conducting material from the side opposite to that on which the sample is placed, at an angle substantially equal to that at which the interaction with the plasma resonance is maximized, the evanescent light field on the far side of the thin layer of

conducting material interacting with the sample, thus
modifying the reflected light;

Three) interferometrically comparing said reflected beam with a
reference beam derived from the same source, but not
5 having had any interaction with the sample;

Four) recording an image of a planar surface in interference
with the reference beam;

Five) digitizing said image; and

Six) processing said digitized image to obtain an output
10 image.

15

20

25

(19) World Intellectual Property Organization
International Bureau(43) International Publication Date
22 March 2001 (22.03.2001)

PCT

(10) International Publication Number
WO 01/20295 A3

- (51) International Patent Classification: G01B 9/02
- (21) International Application Number: PCT/IL00/00559
- (22) International Filing Date:
12 September 2000 (12.09.2000)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data:
131903 15 September 1999 (15.09.1999) IL
- (71) Applicant (for all designated States except US): TECHNION RESEARCH AND DEVELOPMENT FOUNDATION LTD. [IL/IL]; Gutwirth Science Park, Technion City, 32000 Haifa (IL).

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

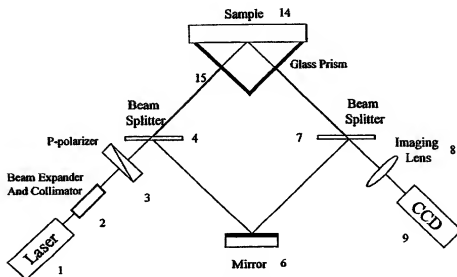
Published:
— with international search report

- (72) Inventors; and
(75) Inventors/Applicants (for US only): LIPSON, Stephen [IL/IL]; 38 Kamil Holmans Str., 34987 Haifa (IL), ~~NOT~~ COVICH, Ariel [IL/IL]; Horev Str. 70, 34343 Haifa (IL).
- (74) Agent: MILLER - SIERADZKI, ADVOCATES AND PATENT ATTORNEYS; P.O.B. 6145, 31061 Haifa (IL).

(88) Date of publication of the international search report:
4 October 2001

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: PLASMON RESONANCE PHASE IMAGING



(57) Abstract: A device for measuring simultaneously the phase at each point of an image formed by light reflected from a sample in which the phase has been modified by plasma resonance in a thin conducting layer, the device comprising a thick transparent substrate (10) on which a thin layer of conducting material is deposited (13); a light source (1); an interferometer; an imaging means (9); and a processing means.

WO 01/20295 A3

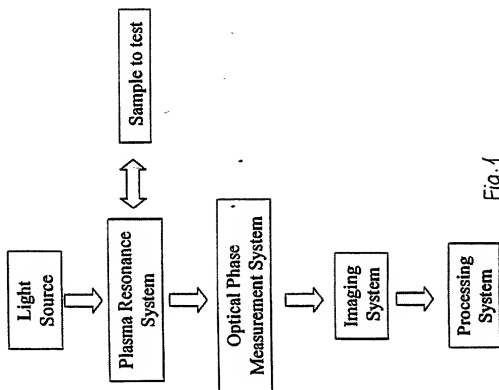


Fig. 1

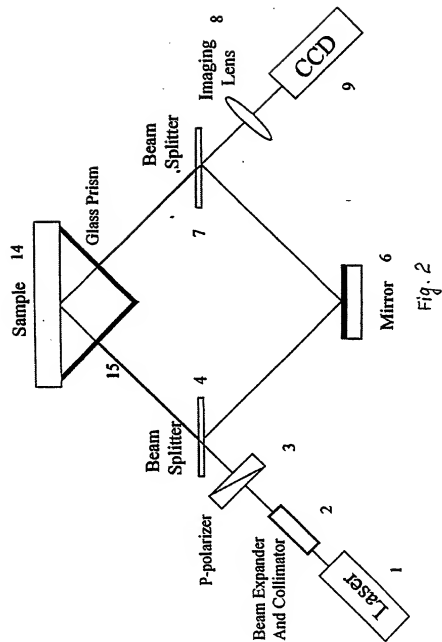


Fig. 2

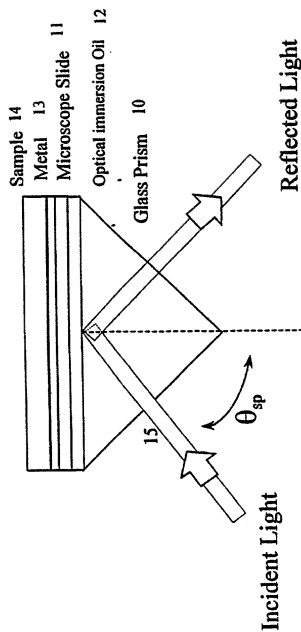


Fig. 3

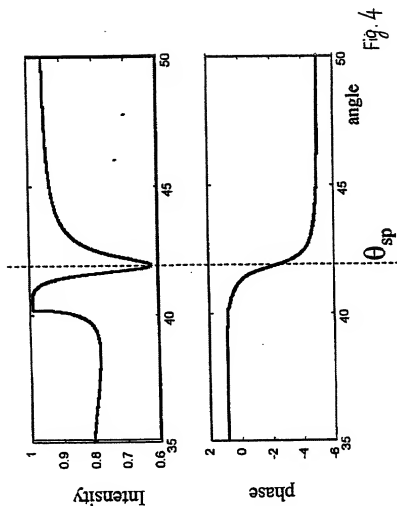


Fig. 4

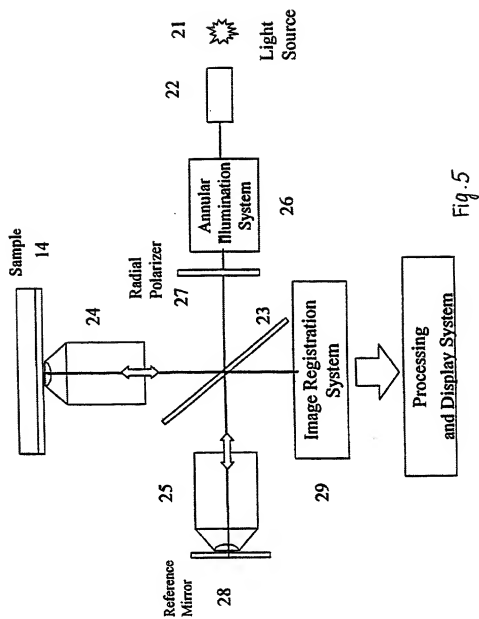


Fig. 5

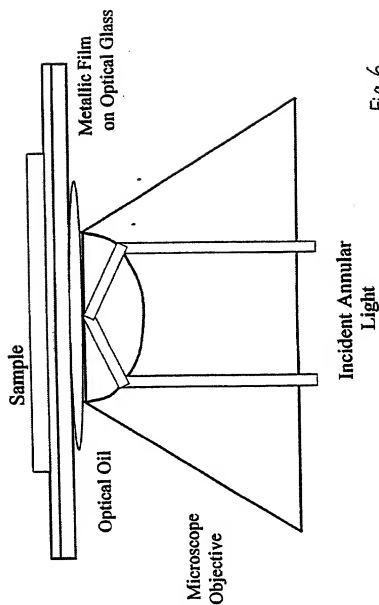


Fig. 6

COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

Attorney Docket No.

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PLASMON RESONANCE PHASE IMAGING

The specification of which is annexed hereto unless the following box is checked:



Was filed (International Application Filing Date) on Sept. 12, 2000 as United States National Phase Application based on PCT International Application Number PCT/IL00/00559 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendments referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (a) - (d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

PRIOR FOREIGN APPLICATION(S)

| Number | Country | Date Filed (Month/Day/Year) | Priority Claimed |
|--------|---------|--------------------------------|------------------|
| 131903 | IL | 09/15/1999 | Yes |
| | | | |

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

| Application No. | Filing Date (Month/Day/Year) |
|-----------------|---------------------------------|
| | |
| | |

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| Application No. | Filing Date (Month/Day/Year) | Status Patented, Pending, Abandoned |
|-----------------|---------------------------------|--|
| PCT/IL00/00559 | 09/12/2000 | |
| | | |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

William H. Dippert Reg. No. 26,723 R. Lewis Gable Reg. No. 22,479
Michael E. Wolfson Reg. No. 26,350-

Direct correspondence to

William H. Dippert
Cowan, Leibowitz & Lefman, P.C.
1133 Avenue of the Americas
New York, N.Y. 10036-6799

Direct Telephone Calls To:

(212) 700-9200 (Frank J. DeRose)

| | |
|--|-------------|
| Full Name of Sole First Inventor | Citizenship |
| LIPSON, Stephen | IL |
| Inventor's Signature | Date |
| <i>[Signature]</i> | 12.3.2002 |
| Residence | |
| 38 Karnil Holismans st., Haifa 34987, Israel ILX | |
| Post Office Address | |
| Full Name of Second Joint Inventor, if Any | Citizenship |
| NOZCOVICH, Ariel | IL |
| Inventor's Signature | Date |
| <i>[Signature]</i> | 12/03/2002 |
| Residence | |
| 70 Ashdod st., Haifa 34343, Israel ILX | |
| Post Office Address | |
| Full Name of Third Joint Inventor, if Any | Citizenship |
| | |
| Inventor's Signature | Date |
| | |
| Residence | |
| Post Office Address | |
| Full Name of Fourth Joint Inventor, if Any | Citizenship |
| | |
| Inventor's Signature | Date |
| | |
| Residence | |
| Post Office Address | |

☐ Additional inventor(s) named on additional numbered sheet(s).